

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	ALLAN, DOUGLAS C., et al	
Serial No:	TBD	Examiner: TBD
Filed:	TBD	Group Art Unit: TBD
For:	OPTIMIZED DEFECTS IN BAND-GAP WAVEGUIDES	

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.56, 1.97 – 1.98**

Commissioner of Patents  
Alexandria, VA 22313-1450

Dear Sir:

The Examiner's attention is hereby directed to the following reference(s) listed on the attached Form PTO-1449 for consideration in connection with the examination of the above-identified patent application. A copy of each of the reference(s) is enclosed unless it was previously submitted in related U.S. Application No. 10/067,644 or were cited in an International Search Report in a corresponding application.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the enclosed documents constitute "prior art." If it should be determined that any of the submitted documents do not constitute "prior art" under United States law, applicant(s) reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicant(s) further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the enclosed references, should one or more of the references be applied against the claims of the present application.

Respectfully submitted,

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Date: 11/13/03

<b>CERTIFICATE OF EXPRESS MAIL UNDER 37 CFR 1.10:</b>	
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is Addressed to Commissioner of Patents, Alexandria, VA 22313-1450	
on	<u>11/13/03</u>
(Date)	
Signature	<u>Svetlana Sht</u>

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS INFORMATION DISCLOSURE STATEMENT	ATTORNEY DOCKET NO.:	SERIAL NO.:
	SP01-056A	TBD
	APPLICANT: ALLAN, DOUGLAS C., et al.	
FILING DATE: TBD	GROUP: TBD	

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date if Approp.
AA		09/563,390		Cook et al.			4/28/00

FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Sub-Class	Translation Yes No
BA		EP 1 118 887	7/25/01	Germany	G02B	6/22	X
BB		WO 9964903 A	12/16/1999	PCT			X
BC		WO 0006506 A	2/10/2000	PCT			X

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
CA	Broeng et al., ANALYSIS OF AIR-GUIDING PHOTONIC BANDGAP FIBERS, Optics Letters, Vol. 25, No. 2, 1/15/00
CB	Cregan et al., SINGLE-MODE PHOTONIC BAND GAP GUIDANCE OF LIGHT IN AIR, Science Magazine, Vol. 285, pp. 1537-1539, 1999
CC	Meade et al., ELECTROMAGNETIC BLOCH WAVES AT THE SURFACE OF A PHOTONIC CRYSTAL, Physical Review B, Vol. 44, No. 19, 11/15/91
CD	Johnson et al., BLOCK-ITERATIVE FREQUENCY-DOMAIN METHODS FOR MAXWELL'S EQUATIONS IN A PLANEWAVE BASIS, Optics Express, Vol. 8, No. 3, pp. 173-190, 1/29/01
CE	Joannopoulos et al., PHOTONIC CRYSTALS: MOLDING THE FLOW OF LIGHT, Princeton University Press, 1995 (entire book) **
CF	Steven G. Johnson and J.D. Joannopoulos, THE MIT PHOTONIC-BANDS PACKAGE, <a href="http://ab-initio.mit.edu/mpb/">http://ab-initio.mit.edu/mpb/</a> . **
CG	Ferrando et al., "Donor and Acceptor Guided Modes in Photonic Crystal Fibers", Optics Letters, Optical Society of America, vol. 25, no. 18, 15 September 2000, pp. 1328-1330
CH	Barkou et al., "Silica-Air Photonic Crystal Fiber Design that Permits Waveguiding by a True Photonic Bandgap Effect", Optics Letters, Optical Society of America, vol. 24, no. 1, 1 January 1999, pp. 46-48
CI	Russell et al., "Silica/Air Photonic Crystal Fibres", Japanese Journal of Applied Physics, vol. 37, no. suppl. 37-1, 1998, pp. 45-48
CJ	Gerard et al., "Photonic Bandgap of Two-Dimensional Dielectric Crystals", Solid State Electronics, vol. 37, no. 4-6, 1994, pp. 1341-1344

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609: draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.